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| Group Art Unit         | 1616 /652 |  |  |  |  |
| Examiner Name          | BAWA, R.  |  |  |  |  |
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<sup>\*</sup> Unique citation designation number. 2 See attached Kinds of U.S. Patent Documents. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>8</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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Sheet 4 of 5

Attorney Docket Number

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| Filing Date            | 09/21/01          |
| First Named Inventor   | Vincent Fischetti |
| Group Art Unit         | 1652              |
| Examiner Name          | David J. Steadman |
| Attorney Docket Number |                   |

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| Filing Date            | 09/21/01          |
| First Named Inventor   | Vincent Fischetti |
| Group Art Unit         | 1652              |
| Examiner Name          | David J. Steadman |
| Attorney Docket Number |                   |

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<sup>&</sup>lt;sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at <a href="www.uspto.gov">www.uspto.gov</a> or MPEP 901.04.
<sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. Applicant is to place a check mark here if English language Translation is attached.

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Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid CMB control number. Complete if Known Substitute for form 1449A/PTO 09/960,472 **Application Number** INFORMATION DISCLOSURE Filing Date 09/21/01 STATEMENT BY APPLICANT Vincent Fischetti First Named Inventor 1652 Group Art Unit David J. Steadman (use as many sheets as necessary) Examiner Name Attorney Docket Number Sheet of 11 **U.S. PATENT DOCUMENTS** Name of Patentee or Applicant of Cited Document Document Number Pages, Columns, Lines, Where Relevant Publication Date MM-DD-YYYY Examiner Initials \* Passages or Relevant Figures Appear Number - Kind Code<sup>2</sup> (if known) 02/18/97 Baker, et al. 72 US-5604110 צנמ 03/15/94 Shigekawa, et al. 73 US-5294369 12/13/94 Friedman, et al. US-5372931 74 US-4933185 Wheatley, et al. 06/12/90 75 04/28/92 Allwood, et al. US-5108758 76 U\$-4713249 12/15/87 Schroder 77 Eden, et al. 78 US-4812445 03/14/89 Short, et al. 11/23/71 79 US-3622677 01/18/83 Trubiano 80 US-4369308 US-5393658 Olsen 02/28/95 81 US-บร-US-US-US-UŞ-US US-US-US-**FOREIGN PATENT DOCUMENTS** Pages, Columns, Lines, Foreign Patent Document Name of Patentee or Applicant of Cited Document Cite No.1 Publication Where Relevant Examiner Date MM-DD-YYYY Passages or Relevant T<sup>6</sup> Initials\* Country Code3 - Number4 - Kind Code6 (# known) Figures Appear

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<sup>&</sup>lt;sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at <a href="https://www.uspto.gov">www.uspto.gov</a> or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of

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| First Named Inventor   | Vincent Fischetti JUJ     | <del>V 7 2</del> 20 2 |
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| Examiner Name          | David J. Steadmar ECH CEA | ITE                   |
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David J. Steadman ECH CENTER 1600/2900 to respond to a collection of information unless it contains a valid OMB control number Substitute for form 1449A/PTO Complete if Known Application Number INFORMATION DISCLOSURE Filing Date STATEMENT BY APPLICANT First Named Inventor Group Art Unit (use as many sheets as necessary) Examiner Name Attorney Docket Number of 11 Sheet

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<sup>1</sup> Unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

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## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Complete if Known

Application Number 09/960,472

Filing Date 09/21/01

First Named Inventor Vincent Fischetti

Group Art Unit 1652

Examiner Name David J. Steadman

Attorney Docket Number

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Sheet 8 of 11 Attorney Docket Number

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<sup>&</sup>lt;sup>1</sup> Unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

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S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE Approved for use through 10/31/2002. OMB 0651-0031

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of 11 Sheet Attorney Docket Number

|                        |              | OTHER PRIOR ART NON PATENT LITERATURE DOCUMENTS  |     |
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<sup>&</sup>lt;sup>1</sup> Unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

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|      |            |                |               | CLOSURE      | Filing Date   | 09/21/01  | *4             | Cr.         |
|      | STAT       | EMENT          | BY A          | PPLICANT     | First Named Inventor  | Vincent Fischetti   | 111            | CIVE        |
|      |            |                |               |              | Group Art Unit  | 1652  | 7~             | 10°56       |
| ŀ    | (          | use as manj    | y sheets as   | necessary)   | Examiner Name   | David J. Steadman   | TCHO           | 27003       |
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| Application Number     | 09/960,472        | TIPE        |
| Filing Date            | 09/21/01          | b ¢         |
| First Named Inventor   | Vincent Fischetti |             |
| Group Art Unit         | 1652              | JUN 1 1 200 |
| Examiner Name          | David J. Steadman | 13          |
| Attorney Docket Number |                   |             |
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| Examiner   | Cite | Document Number                            | Publication Date<br>MM-DD-YYYY | Name of Patentee or Applicant of<br>Cited Document | Pages, Columns, Lines, Where Relevant<br>Passages or Relevant |
| Initials *                                       | No.1 | Number - Kind Code <sup>2</sup> (if known) | WINI-DO-1111                   | <u> </u>   | F1-1-1- A A   |
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| +-   | 138  | US- 5842314                                | 11/24/98                       | Scott et al  | CH CON.   |
| <del>                                     </del> | 139  | US- 5910441                                | 06/08/99                       | Rocha et al  | LIVIED  |
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| 1215                  | 153          | WO 03/024410 A2   | 03/27/03        | Fischetti et al                |  |                |
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<sup>&</sup>lt;sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at <u>www.uspto.gov</u> or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 6 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. Applicant is to place a check mark here if English language Translation is attached.

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# LIST OF NEW HORIZON PATENTS AND PATENT APPLICATIONS

| Patent/Application No. | <i>WS</i> Pat. No. 5,604,109   | DJS Pat. No. 5,997,862<br>App No.09/962,523               | DUS Pat. No. 6,017,528<br>App No. 09/257,025<br>(Cert. of Correction) | DUS Pat. No. 5,985,271<br>No.09/257,026<br>(Cert. of Correction)                  | 200  |   | DUS Bat. No. 6,238,661<br>App. No. 09/497,495 |
|------------------------|--|---|---|---|--|---|---|
| ication No.            | 14,109   | 97,862<br>162,523   | )17,528<br>257,025<br>rection)  | 985,271<br>26<br>rection)   | Pat. No. 6,566,954 954<br>App.No. 09/395,636<br>(Cert. of Correction)  | 238,661<br>/497,495   |   |
| Country                | U.S.A.   | U.S.A.  | U.S.A.  | U.S.A.  | U.S.A.   | U.S.A.  | U.S.A.  |
| Filing Date            | 09-13-94   | 10-31-97  | 02-25-99  | 02-25-99  | 09-14-99   | 04-18-00  | 01-14-00                                      |
| Issue Date             | 02-18-97   | 12-7-99   | 01-25-00  | 11-16-99  | 05-02-00   | 05-29-01  | 07-24-01                                      |
| Inventors              | Fischetti  | Fischetti<br>Loomis                                       | Fischetti<br>Loomis   | Fischetti<br>Loomis   | Fischetti<br>Loomis  | Fischetti<br>Loomis   | Fischetti                                     |
| Title                  | A Method for Exposing Group A Streptococci Antigens and an Improved Diagnostic Test for the Identification of Group Streptococcus. | Therapeutic treatment of Group A Streptococcal Infections | Therapeutic Treatment of Group A Streptococcal Infections             | Prophylactic and Therapeutic Treatment of App of Group A Streptococcal Infections | Use of Bacterial Phage Associated Lysing Enzymes for the Prophylactic and Therapeutic Treatment of Various Illnesses | Use of Bacterial Phage Associated Lysing Enzymes for Treating Various Illnesses | Parenteral Lice of Bacterial Phage Accordated |

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# Treatment of Bacterial Infections

DS Pat. No. 6,056,955 App. No.09/395,637

U.S.A.

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Fischetti Loomis

Topical Treatment of Streptococcal Infections

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|          | Pat. No. 6,248,324                | .App. No. 09/671,880  | App. No. 09/671,881   | Pat. No. 6,277,399<br>App. No. 09/671,882   | App. No. 09/654,482   | Pat. No. 6,254,866<br>App. No. 09/653,690  | App. No. 09/654,483  | App. No. 09/654,484  |
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|          | Fischetti                         | Fischetti<br>Loomis   | Fischetti<br>Loomis   | Fischetti<br>Loomis   | Fischetti<br>Loomis   | Fischetti<br>Loomis  | Fischetti<br>Loomis  | Trudil   |
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| The Parental Use of Bacterial Phage Associated Lysing Enzymes For The Lysing Enzymes for the Therapeutic | The Use of Bacterial Phage Associated Lysing Enzymes for the Prophylactic and Therapeutic Treatment of Various Illnesses | The Use of Bacterial Phage Associated Lytic Enzymes to Prevent Food Poisoning | The Use of Bacterial Phage Associated Lysing Enzymes for Treating Bacterial Infections of the Upper Respiratory System |  | A Method for Treating Dental Caries<br>Caused by Streptococcus Mutans | A Composition for Treating Dental Caries Caused by Streptococcus Mutans | The Use of Bacterial Phage Associated Lytic Enzymes for Treating Dermatological Infections | Enzymes fo Treating Dermatological Infections |

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# Treatment of Bacterial Infections

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| 04-30-01  | - 07-13-01  | 07-19-01  | 09-24-01  | 09-24-01   | 07-13-01  |
| Fischetti   | Eischetti<br>Loomis   | Eischetti<br>Loomis   | Fischetti<br>Loomis   | Fischetti<br>Loomis  | Fischetti<br>Loomis   |
| The Use of Bacterial Phage<br>Associated Lysing Enzymes For | The Use of Bacterial Phage<br>Associated Lytic Enzymes to<br>Prevent Food Poisoning | Parenteral Use of Bacterial Phage<br>Associated Lysing Enymes for the<br>Therapeutic Treatment of Bacterial<br>Infections | The Use of Bacterial Phage Associated Lysing Enzymes for the Prophylactic and Therapeutic Treatment of Colonization and Infections Caused by Streptococcus pneumoniae | The Use of Bacterial Shuffled and Chimeric Phage Associated Lytic Enzymes for the Prophylactic and Therapeutic Treatment of Colonization and Infections caused By Streptococcus Pneumoniae | The Use of Bacterial Phage Associated Lysing Enzymes for Treating Various Illnesses |

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## Treating Various Illnesses

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| 200105279-4<br>N/A-<br>1,45087-<br>28767/99 | net yet filed<br>19917152-0<br>514260 | <del>99909595.3</del><br><del>2000-600679</del><br><del>20011263</del> 02 | PCT/US99/04063  | App. No. 09/846,688 U.S.A.   |
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| 7   | AND<br>AND                            | EPO-<br>JAPAN-<br>RUSSIAN FEDERATION                                      | 02-25-99  | 05-02-01   |
|   |                                       |   | Fischetti<br>Loomis                                       | Fischetti<br>Loomis  |
|   |                                       | Streptococcal Infections  | A Means for the Prophylactic and Therapeutic Treatment of | Associated Lysing Proteins for the Prophylactic and Therapeutic Treatment of Various Illnesses |

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